

UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK

UNITED STATES SECURITIES AND EXCHANGE  
COMMISSION,

Plaintiff,

v.

ALPINE SECURITIES CORPORATION,

Defendant.

Civil No. 1:17-CV-04179-DLC

Honorable Judge Denise L. Cote  
Magistrate Judge Ronald L. Ellis

**RULE 7.1 STATEMENT**

Pursuant to Rule 7.1 of the Federal Rules of Civil Procedure, Defendant Alpine Securities Corporation (“**Alpine**”), by and through undersigned counsel appearing for the limited purpose of contesting jurisdiction, states that its parent company is SCA Clearing & Holding Group and that there is no publicly held corporation owning 10% or more of Alpine.

DATED this 3rd day of August, 2017.

/s/ Brent R. Baker

Brent R. Baker (BB 8285)

Aaron D. Lebenta (*Pro Hac Vice Pending*)

Jonathan D. Bletzacker (*Pro Hac Vice Pending*)

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